

Substitute Form PTO-1449 (Modified) <b>Information Disclosure Statement</b> (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office <b>DEC 18 2006</b>	Attorney's Docket No. 17146-008001	Application No. 10/826,947
	Applicant Stephen K. Pinto et al.		
	Filing Date April 16, 2004	Group Art Unit 2123	

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
/TG/	AA	6,430,539	08/06/2002	Lazarus et al.	—	—	
/TG/	AB	6,879,971	04/12/2005	Keeler et al.	—	—	
/TG/	AC	6,954,758	10/11/2005	O'Flaherty	—	—	
/TG/	AD	7,043,461	05/09/2006	Kedher et al.	—	—	
/TG/	AE	7,047,251	05/16/2006	Reed et al.	—	—	
/TG/	AF	2005/0096950	05/2005	Caplan et al.	—	—	
/TG/	AG	2003/0004777	01/2003	Phillips	—	—	
/TG/	AH	5,621,812	04/1997	Deaton et al.	—	—	
/TG/	AI	5,592,560	01/1997	Deaton et al.	—	—	
/TG/	AJ	5,583,763	12/1996	Atcheson et al.	—	—	
	AK						

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
/TG/	AL ✓	WO 02/19061	07/03/2002	WIPO	—	—		
/TG/	AM ✓	WO 03/005232	16/01/2003	WIPO	—	—		
/TG/	AN ✓	PCT/US05/11749	11/2/2006	Copy of PCT ISR	—	—		
	AO							
	AP							

**Other Documents (include Author, Title, Date, and Place of Publication)**

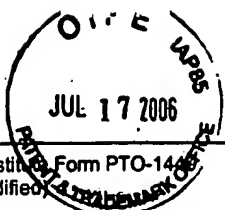
Examiner Initial	Desig. ID	Document
/TG/	AQ ✓	Harrison, H.C., "An Intelligent Business Forecasting System," ACM May 1993, pp. 229-236.
/TG/	AR ✓	Haughton et al., "A Review of Software Packages for Data Mining," The American Statistician, November 2003, Vol. 57, No. 5, pp. 290-309.
/TG/	AS ✓	Angus, Enterprise Miner 5.1 Digs Into Data, InforWorld, August 9, 2004, Vol. 26, No. 32, pp. 22-23.
/TG/	AT ✓	Chapman et al., CRISP-DM 1.0 Step-by-Step Data Mining Guide, August 2000, pp. 27-31, 53-59, 71-79.

Examiner Signature /Tejal Gami/	Date Considered 03/23/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant <b>Stephen K. Pinto et al.</b>	
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Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
/TG/	AU ✓	Cabena et al., Intelligent Miner for Data Applications Guide, IBM Redbook, SG24-5252-00, March 1999, pp. 9-17, 27-35, 69-77, 87-108, 111-128.
/TG/	AV ✓	Schikora et al., Efficacy of End-User Neural Network and Data Mining Software for Predicting Complex System Performance, International Journal of Production Economics, Vol. 84, pp. 231-53, June 2003.
/TG/	AW ✓	Bhattacharyya, Evolutionary Algorithms in Data Mining: Multi-Objective Performance Modeling for Direct Marketing, Proceedings of the Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, pp. 465-73, Aug. 2000.
/TG/	AX ✓	Pearce et al., Experimentation and Self Learning in Continuous Database Marketing, IEEE International Conference on Data Mining, pp. 775-8, December 2002.
/TG/	AY ✓	Etzion et al., e-CLV: A Modeling Approach for Customer Lifetime Evaluation In e-Commerce Domains, With an Application and Case Study for Online Auctions, IEEE International Conference on e-Technology, e-Commerce and e-Service, pp. 149-56, March 2004.

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Sheet 1 of 1

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**Information Disclosure Statement  
by Applicant**

(Use several sheets if necessary)

(37 CFR §1.98(b))

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
/TG/	AA	6,956,941	10/18/2005	Duncan et al.	379	265.01	
/TG/	AB	6,859,529	2/22/2005	Duncan et al.	279	266.1	
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
/TG/	AL ✓	2,241,119	2002/03/07	Canada	—	—		
	AM							
	AN							
	AO							
	AP							

**Other Documents (include Author, Title, Date, and Place of Publication)**

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	AR	
	AS	
	AT	

Examiner Signature

/Tejal Gami/

Date Considered

03/23/2007

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Substitute Disclosure Form (PTO-1449)



Substitution Form PTO-1449 (Rev. 10-2003)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17146-008001	Application No. 10/826,947
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U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
/TG/	AA	5,692,107	11/25/1997	Simoudis et al.	—	—	
/TG/	AB	5,826,250	10/20/1998	Trefler	—	—	
/TG/	AC	6,185,543	02/06/2001	Galperin et al.	—	—	
/TG/	AD	6,269,325	07/31/2001	Lee et al.	—	—	
/TG/	AE	6,317,752	11/13/2001	Lee et al.	—	—	
/TG/	AF	6,640,215	10/28/2003	Galperin et al.	—	—	
/TG/	AG	6,542,894	04/01/2003	Lee et al.	—	—	
/TG/	AH	6,631,360	10/07/2003	Cook	—	—	
/TG/	AI	6,782,390	08/24/2004	Lee et al.	—	—	
/TG/	AJ	2002/0052836	05/02/2002	Galperin et al.	—	—	
/TG/	AK	2003/0018601	01/23/2003	Lee et al.	—	—	
	AL						

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							Yes	No
/TG/	AM	WO 99/22328	05/06/1999	WIPO	—	—		
	AN							
	AO							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
/TG/	AP ✓	Commercial software: SPSS Clementine: <a href="http://www.spss.com/Clementine/index.htm">www.spss.com/Clementine/index.htm</a>
/TG/	AQ ✓	"On-line Seminar: How to keep customers and increase profits using predictive analytics powered by Clementine", <a href="http://www.spss.com/epssbi/directresponse/clementine-webinar/index.cfm?code=d3183">www.spss.com/epssbi/directresponse/clementine-webinar/index.cfm?code=d3183</a>
/TG/	AR ✓	"SAS Enterprise Miner", <a href="http://www.sas.com/technologies/analytics/datamining/miner">www.sas.com/technologies/analytics/datamining/miner</a>
/TG/	AS ✓	SAS JMP, <a href="http://www.jmp.com">www.jmp.com</a>
/TG/	AT ✓	Clifford C. Clogg, et al., "Multiple Imputation of Industry and Occupation Codes in Census Public-Use Samples Using Bayesian Logistic Regression", <i>Journal of the American Statistical Association</i> , Vol. 86, No. 413, pp. 68-78 (March 1991)

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/TG/	BA ✓	Roderick J.A. Little et al., <u>Statistical Analysis with Missing Data</u> (2 <sup>nd</sup> Edition), John J. Wiley & Sons, Inc., (2002), pp. 19-22; 166-188; and 292-309.
/TG/	BB ✓	Donald B. Rubin, "Using Empirical Bayes Techniques in the Law School Validity Studies", <u>Journal of the American Statistical Association</u> , Vol. 75, No. 372, pp. 801-816 (December 1980)
	BC	
	BD	

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